

Nebraska Information Technology Commission

Project Proposal Form

**New or Additional State Funding Requests
for Information Technology Projects**

FY2003-05 Biennium

Project Title	Extended Computer Automation Project – Electronic File System, Electronic Forms Automation, and Electronic Records Management
Agency/Entity	NE Workers Compensation Court

Project Proposal Form
FY2003-05 Biennium**About this form...**

The Nebraska Information Technology Commission ("NITC") is required by statute to "make recommendations on technology investments to the Governor and the Legislature, including a prioritized list of projects, reviewed by the technical panel, for which new or additional funding is requested." In order to perform this review, the NITC and DAS-Budget Division require agencies/entities to complete this form when requesting new or additional funding for technology projects. For more information, see the document entitled "Guidance on Information Technology Related Budget Requests" available at <http://www.nitc.state.ne.us/forms/>.

Electronic versions of this form are available at <http://www.nitc.state.ne.us/forms/>.

For questions or comments about this form, contact the Office of the CIO/NITC at:

Mail: Office of the CIO/NITC
521 S 14th Street, Suite 200
Lincoln, NE 68508
Phone: (402) 471-3560
Fax: (402) 471-4608
E-mail: info@cio.state.ne.us

Submission of Form

Completed forms must be submitted by the same date biennial budget requests are required to be submitted to the DAS Budget Division. Completed project proposal forms must be submitted via e-mail to info@cio.state.ne.us. The project proposal form should be submitted as an attachment in one of these formats: Microsoft Word; WordPerfect; Adobe PDF; or Rich Text Format. Receipt of the form by the Office of the CIO will be confirmed by e-mail. If an agency is unable to submit the application as described, contact the Office of the CIO prior to the deadline, to make other arrangements for submitting a project proposal form.

Section I: General Information

Project Title	Extended Computer Automation Project – Electronic File System, Electronic Forms Automation, and Electronic Records Management
Agency (or entity)	NE Workers Compensation Court
Contact Information for this Project:	
Name	Randall Cecrle
Address	521 S14th, Suite 101
City, State, Zip	Lincoln, NE 68522-1259
Telephone	402-471-2976
E-mail Address	rcecrle@wcc.state.ne.us

Project Proposal Form
FY2003-05 Biennium

Section II: Executive Summary

The court has developed over the last seven years a comprehensive case management system based upon Oracle database technology and an online screen and reporting system developed using Oracle tools. This case management system provides mission-critical information to staff in all areas of the court. (The subsystems are listed in the court's IT Comprehensive Plan.) This "Extended Computer Automation" project is being planned as a long range, ten year effort to implement the court's Strategic Plan as defined in the IT Comprehensive Plan and other mandatory requirements placed on the Court (electronic records management, security, disaster recovery, as examples). In addition the Supreme Court is moving forward with its automation projects, some of which run parallel with strategic plans of the Workers Compensation Court.

This project over it's 10 year life will address Electronic File System, Electronic Forms Automation, Adjudicated Electronic Filing Processes, Electronic Records Management, Security, and Disaster Recovery. The estimated approximate 10 Year Project Cost is: One-Time Hardware, Software, Training \$1,250,000 -- On-Going Costs \$187,500 = \$1,437,500.

During the first two fiscal years of the 10 Year project, the court is planning on addressing the Electronic File System, initial integration of the Electronic File System with the court's Oracle Case Management system, Electronic Forms Automation, and an initial implementation of Electronic Records Management.

Section III: Goals, Objectives, and Projected Outcomes (15 Points)

1. Describe the project, including:
 - Specific goals and objectives;
 - Expected beneficiaries of the project; and
 - Expected outcomes.

The primary goals of the first two fiscal year phase of this project are the implementation of an electronic file system (object repository) that the court will use to store document objects such as petitions, motions, orders, requests for vocational rehabilitation counselors, etc. and the initial integration of these electronic documents with the court's client/server Oracle Case Management system. The court is taking the strategy of implementing its "back-end" systems internally before providing external access to the information provided by these systems. The repository and management of such is seen as critical infrastructure before new processes are implemented that impact the external stakeholders of the court.

As secondary goals, the court hopes to extend its ability to receive electronic documents in a secured way through electronic forms automation that will reduce the requirement to convert paper to electronic documents by scanning. In addition, the court plans on taking initial steps in addressing the management of electronic records. The primary beneficiaries during this phase will be court staff. No external stakeholders will be affected.

2. Describe the measurement and assessment methods that will verify that the project outcomes have been achieved.

Performance will be measured by the reduction of requests for physical paper files because the documents are available electronically, access by multiple Court personnel to the same documents without creating copies, and improved responsiveness to answering questions due to the elimination of

Project Proposal Form
FY2003-05 Biennium

wait times to retrieve paper files. There will be a reduction in external paper requests. Electronic records will be purged based upon applied records retention schedules.

3. Describe the project's relationship to your agency comprehensive information technology plan.

The court's agency comprehensive information technology plan states the following:

"An electronic object repository that can be tightly integrated with the Court's relational (Oracle) data repository provides the foundation for many future projects of the court. Closely related and critical to the successful management of this electronic object repository is functionality and systems that manage the integrated relational and electronic object repositories as records. Records Management will provide the court with ways to attach records retention schedules, archive historical records, delete/purge expired records in trustworthy ways that meet the standards of law and rule.

To convert from paper files to electronic files, the above technologies are critical. To successfully implement without losing productivity gains and hopefully making additional productivity gains, technology that allows the court to receive paper and other objects (recordings, pictures, etc.) electronically is required."

"Electronic Court Files (Litigation and non-litigation)" is scheduled in the plan to be addressed during the 2004-2005 fiscal time frame.

Section IV: Project Justification / Business Case (25 Points)

4. Provide the project justification in terms of tangible benefits (i.e. economic return on investment) and/or intangible benefits (e.g. additional services for customers).

The Supreme Court is currently developing systems to allow for the electronic filing of adjudicated documents. The Workers' Compensation Court strategic plan calls for the implementation of similar functionality in fiscal year 2006 and beyond. To be prepared for the electronic filing (adjudicated and non-adjudicated) a document/object repository needs to be implemented to store the objects.

The long term benefits of electronic filing into electronic repositories integrated with case management information is improved services and information to our stakeholders such attorneys, insurance companies, etc. Staff will be able to answer external questions in a more timely fashion because information will be available electronically. Paper files "float" between three buildings and multiple offices. Electronic files will allow for the concurrent use of these files and also make available other documents received externally on paper that will be converted to electronic format. Floating physical files create a risk of loss of files. Applying rigid security management, records management, audited change/deletion management, and electronic backups to electronic files, the risk of loss is lessened and recoverability is increased.

5. Describe other solutions that were evaluated, including their strengths and weaknesses, and why they were rejected. Explain the implications of doing nothing and why this option is not acceptable.

Two of the three of the top document management systems have been initially reviewed to understand functionality and determine approximate costs. The court was an active participant in the Electronic Forms Automation Request for Information (RFI) and will use the information gathered to assist in the review of products. The court attended last years ARMA Convention and is attending this year's Convention to gather information about Electronic Records Management systems. IMServices will be consulted when at each step. Requests for Proposal will be issued.

Project Proposal Form
FY2003-05 Biennium

Doing nothing means the court functions in a status quo environment. As the Supreme Court moves forward the Workers Compensation Court would fall behind in its ability to provide similar services to its external stakeholders.

6. If the project is the result of a state or federal mandate, please specify the mandate being addressed.

No.

Section V: Technical Impact (20 Points)

7. Describe how the project enhances, changes or replaces present technology systems, or implements a new technology system. Describe the technical elements of the project, including hardware, software, and communications requirements. Describe the strengths and weaknesses of the proposed solution.

The first two fiscal year phase of this project implements new technology in the form of an electronic file system (object repository). The court's existing Oracle Case Management system is enhanced and extended by creating the ability to bring together status information about a case with actual documents. The combination creates a comprehensive information support system. Document management software is required to create the repository. Microsoft Windows and Internet Application Program Interfaces (APIs) are required to integrate the court's case management software with the document/object repositories and vice versa. Records Management software and retention schedules are necessary to create "trust-worthy" information.

A multi-processor server with appropriate memory and disk/optical storage will be needed to host the applications and repositories. 100 megabit or greater bandwidth is required within the court to provide adequate response time to not impact productivity. (Currently the court is on Ethernet with two of its four locations on the state campus, which provides this capacity.)

8. Address the following issues with respect to the proposed technology:

- Describe the reliability, security and scalability (future needs for growth or adaptation) of the technology.
- Address conformity with applicable NITC technical standards and guidelines (available at <http://www.nitc.state.ne.us/standards/>) and generally accepted industry standards.
- Address the compatibility with existing institutional and/or statewide infrastructure.

Reliability, security, scalability will part of the decision criteria used during the selection process. Likewise, NITC technical standards and guidelines will be incorporated in the process. The selection process will also take into account existing IMServices support technologies. Standards and guidelines from Records Management will also be applied.

Project Proposal Form
FY2003-05 Biennium

Section VI: Preliminary Plan for Implementation (10 Points)

9. Describe the preliminary plans for implementing the project. Identify project sponsor(s) and examine stakeholder acceptance. Describe the project team, including their roles, responsibilities, and experience.
10. List the major milestones and/or deliverables and provide a timeline for completing each.

A Request for Proposal will be developed and issued in July through August 2003. A product or products will be selected by the end of the third quarter with procurement and implementation to begin late third and fourth quarter. Phased implementation dates will not be known until the completion of the RFP process. The project sponsor is the court administrator. Internal court management and staff will perform a review of the RFP. Secretary of State - Records Management section and IMServices will be involved in the RFP process.

11. Describe the training and staff development requirements.

Product administration training will be required. End users will be trained on how to place documents into the repository, retrieve them, and integrate them with the Oracle Case Management system. The Public Information Manager and Public Information staff will be trained on how to use the Records Management software, apply retention schedules, etc.

12. Describe the ongoing support requirements.

The application software and data stores will be hosted on WCC servers hosted in the IMServices Data Center. IMServices workorders will be issued for footprint and engineering/maintenance support. It is expected that the annual ongoing support costs will be in the range of 15%-20% of initial procurement and implementation costs per year.

Section VII: Risk Assessment (10 Points)

13. Describe possible barriers and risks related to the project and the relative importance of each.

The below barriers and risks are in high to low order:

Resistance to move from paper to electronic files is anticipated.
Resistance to changing procedures and workflow.
Resistance to changing electronic signatures.
System will not meet response time requirements and will impact court efficiency.

14. Identify strategies, which have been developed to minimize risks.

The court has already taken a preliminary step towards electronic files by implementing a "File System" based repository loosely integrated with the Oracle Case Management System. The current system is not compliant with rigid levels of security and records management and is only a short-term solution. Its primary purpose was to introduce court staff to electronic file management and prepare them for the next step.

Project Proposal Form
FY2003-05 Biennium

Changes to procedures and workflow will be incorporated into smaller re-engineering projects for each section or function. Application of standard System Development Life-Cycle processes will be used to assure design is created with input from the end users.

Procedures will be defined and appropriate security applied to the use of electronic document signatures.

The court has already made changes to its communications infrastructure to assure response times are not impacted.

Project Proposal Form
FY2003-05 Biennium

Section VIII: Financial Analysis and Budget (20 Points)

15. Financial Information

See spreadsheet below.



Excel Spreadsheet
(Double-click)

16. Provide a detailed description of the budget items listed above. Include:

- An itemized list of hardware and software.
- If new FTE positions are included in the request, please provide a breakdown by position, including separate totals for salary and fringe benefits.
- Provide any on-going operation and replacement costs not included above, including funding source if known.
- Provide a breakdown of all non-state funding sources and funds provided per source.

One two-processor server
Document Management Software
Electronic Forms Automation Software
Records Management Software

No new FTE's.

No non-state funding sources.

17. Please indicate where the funding requested for this project can be found in the agency budget request, including program numbers.

Budget Adjustments, Program 530, Subprogram 01.

Nebraska Information Technology Commission
Project Proposal Form
Section VIII: Financial Analysis and Budget

(Revise dates as necessary for your request.)

	Estimated Prior Expended	Request for FY2003-04 (Year 1)	Request for FY2004-05 (Year 2)	Request for FY2005-06 (Year 3)	Request for FY2006-07 (Year 4)	Future	Total
1. Personnel Costs							\$ -
2. Contractual Services							
2.1 Design							\$ -
2.2 Programming							\$ -
2.3 Project Management							\$ -
2.4 Other		\$ 126,000.00					\$ 126,000.00
3. Supplies and Materials							\$ -
4. Telecommunications							\$ -
5. Training		\$ 5,000.00					\$ 5,000.00
6. Travel		\$ 5,000.00					\$ 5,000.00
7. Other Operating Costs		\$ 24,000.00	\$ 24,000.00	\$ 24,000.00	\$ 24,000.00		\$ 96,000.00
8. Capital Expenditures							
8.1 Hardware		\$ 20,000.00					\$ 20,000.00
8.2 Software		\$ 146,000.00					\$ 146,000.00
8.3 Network							\$ -
8.4 Other							\$ -
TOTAL COSTS	\$ -	\$ 326,000.00	\$ 24,000.00	\$ 24,000.00	\$ 24,000.00	\$ -	\$ 398,000.00
General Funds							\$ -
Cash Funds		\$ 326,000.00	\$ 24,000.00				\$ 350,000.00
Federal Funds							\$ -
Revolving Funds							\$ -
Other Funds							\$ -
TOTAL FUNDS	\$ -	\$ 326,000.00	\$ 24,000.00	\$ -	\$ -	\$ -	\$ 350,000.00